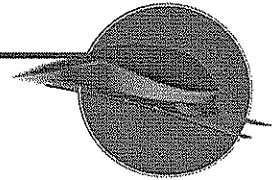


Project Name: CT-NEC-Track03-CP261toCP271 Date of Submission: 08/24/09 Version Number: 1.0

## High Speed Intercity Passenger Rail (HSIPR) Program

### Application Form

### Track 1b-PE/NEPA



Welcome to the Track 1b – Preliminary Engineering (PE)/National Environmental Protection Act (NEPA) Application for the Federal Railroad Administration’s High Speed Intercity Passenger Rail (HSIPR) Program. Applicants for Track 1b-PE/NEPA are required to submit this Application Form and Supporting Materials (forms and documents) as outlined in Section G of this application as well as detailed in the HSIPR Guidance.

We appreciate your interest in the program and look forward to reviewing your application. If you have questions about the HSIPR program or this application, please contact us at [HSIPR@dot.fra.gov](mailto:HSIPR@dot.fra.gov).

#### Instructions:

- Please complete this document and provide any supporting documentation electronically.
- In the space provided at the top of each section, please indicate the project name, date of submission (mm/dd/yy) and the application version number. The distinct Track 1b project name should be less than 40 characters and follow the following format: State abbreviation-route or corridor name-project title (e.g., HI-Fast Corridor-Track Work IV).
- For each question, enter the appropriate information in the designated gray box. If a question is not applicable to your PE/NEPA Project, please indicate “N/A.”
- Narrative questions should be answered concisely in the space provided.
- Applicants must upload this completed application form and any supporting documentation to [www.GrantSolutions.gov](http://www.GrantSolutions.gov) by August 24, 2009 at 11:59pm EDT.
- Fiscal Year (FY) refers to the Federal Government’s fiscal year (Oct. 1- Sept. 30).
- Please direct questions to: [HSIPR@dot.gov](mailto:HSIPR@dot.gov)

### A. Point of Contact and Application Information

(1) Application Point of Contact (POC) Name: James Redeker		POC Title: Bureau Chief, Public Transportation		
Street Address: 2800 Berlin Turnpike	City: Newington	State: CT	Zip Code: 06410	Telephone Number: 860-594-2802
Fax: 860-594-3406		Email: <a href="mailto:james.redeker@ct.gov">james.redeker@ct.gov</a>		
(2) Name of lead State or organization applying: Connecticut				
(3) Name(s) of additional States and/or organizations applying in this group (if applicable): Amtrak				

(4) Is this PE/NEPA Project related to additional applications for HSIPR funding (under this track or other tracks)?

☒ Yes   ☐ No   ☐ Maybe

If "Yes" or "Maybe" provide the following information:

Other Program/Project Name	Lead Applicant	Track	Total HSIPR Funding Requested (if known)	Status of Application
CT-NEC-NH Signal & PTC Design	CTDOT	Track 1b - PE/NEPA	\$ 13,483,582	Applied
		Track 1a - FD/Construction	\$	Applied
		Track 1a - FD/Construction	\$	Applied
		Track 1a - FD/Construction	\$	Applied

Project Name: CT-NEC-Track03-CP261toCP271 Date of Submission: 08/24/09 Version Number: 1.0

## B. Project Overview

(1) **PE/NEPA Project Name:** New Haven - Devon Track 3 Restoration

(2) **Indicate the activity(ies) for which you are applying:**

☒ Preliminary Engineering (PE) ☒ NEPA site-specific

(3) **What are the anticipated start and end dates for this PE/NEPA Project? (mm/yyyy)**

**Start Date:** 09/2009 **End Date:** 12/2010

(4) **PE/NEPA Project Narrative.** *Please limit response to 4,000 characters.*

Describe the PE/NEPA activities that would be completed with HSIPR Track 1 funding through this application. Include the design studies and the resulting project documents for PE activities. For NEPA activities, address the technical and field studies that would be completed and documents that would be prepared, including:

- Project component studies
- PE/NEPA tasks / milestones
- Preparation of documents

Describe the agency and public involvement approach including key activities and objectives (including permitting actions). Address the coordination plan with affected railroads and right-of-way owners.

ConnDOT is seeking entry into the HSIPR Program to prepare the required NEPA and PE documentation for the New Haven-Devon Track 3 Restoration. This project includes the restoration of Track 3 from MP61 (CP261) in Milford to MP71.6 (CP271) in New Haven. Research and investigation on the project, including previous studies and site reviews, demonstrate that a Categorical Exclusion (CE) will likely satisfy the NEPA review requirements for this project. A CE is an action that meets the definition contained in 40 CFR 1508.4 and does not involve significant environmental impacts; induce significant impacts to planned growth or land use for the area; require the relocation of a significant number of people; or have a significant impact on any existing resources, including natural, cultural, recreational, and historic.

Track 3 served as a passenger rail line until it was retired in the 1980's. The track, bridges, overhead catenary system (OCS), and signals were removed on the five-mile segment, MP61 to MP66 in Orange. The track remains in service between MP66 and MP71.6 as a freight lead, without the OCS and signal system.

As part of a separate, state-funded project to construct a new commuter rail station in West Haven (MP69.6), ConnDOT has completed the state environmental review and is developing final design plans for the full restoration of Track 3 between MP66 and MP71.6. These documents will serve as the basis for application into the HSIPR Program and as the starting point for NEPA/PE documentation.

For the NEPA/PE review, including the CE documentation, it is anticipated that the following studies will be prepared:

1. Historic and Cultural Resources Review
2. Biological Surveys and Assessments
3. Wetlands Delineation and Hydrology Studies
4. Noise and Vibration Studies
5. Preliminary Engineering Study
6. Preliminary Design Report
7. Operations Analysis

Since no land acquisitions are planned, Community Impacts and Economic Assessments will not be needed. Additionally, since this is for rail infrastructure only (no stations), Air Quality and Traffic Assessments will not be needed.

These studies will address the entire 11-mile segment; however, field work will primarily be limited to the five-mile segment from MP61 to MP66. Within this segment, field studies will include wetlands delineation, biological surveys, identification of potential historic and cultural resources, sensitive receptors, route survey for track alignment, survey for bridge replacement, and hydrology studies at water crossings.

The general tasks and timeframes associated with the NEPA-related work include:

1. Baseline Environmental Conditions Review (including assessment of permit requirements): 2 to 3 months
2. Noise and Vibration Monitoring: 1 month
3. Wetlands Delineation - 1 month
4. Cultural Resources Review - 2 months
5. Analysis of Impacts - 2 months
6. Preparation of Supporting Technical Studies - 1 month
7. Preparation of CE Checklist - 1 month

The coordination effort will include the FRA, Amtrak, ConnDOT, Metro-North Railroad (MNR), CSX, the communities of New Haven, West Haven, Orange, and Milford, the regional planning agency, and Federal, State, and regional permitting agencies. Stakeholders will be engaged early in the process via informational meetings and workshops to document concerns and issues, as well as to provide an open forum to gather input. The goal of the public outreach process will be to address questions and concerns early in the project development process and to build consensus for investment in the project.

The right-of-way (ROW) is owned by the State. Amtrak, MNR, CSX, and PWRR operate rail services along the line. The proposed work is fully contained within the existing ROW. The embankment for Track 3 remains intact in the segment where the track was removed. ConnDOT will coordinate with the operating entities throughout the process and will

minimize potential impacts during construction.

- (5) Status of Activities:** In the following table, please indicate the status of planning studies/documentation supporting your planned investment. Indicate the status and key dates for each applicable activity as noted in Appendix 2 of the HSIPR Guidance.

	Select <u>One</u> of the Following:				Provide Dates for all activities:	
	N/A	No study exists	Study Initiated	Study Completed	Actual or Anticipated Initiation Date (mm/yyyy)	Actual or Anticipated Completion Date (mm/yyyy)
<b>Activities/Documents</b>						
<b>Environmental Studies</b>						
Final NEPA Document (Categorical Exclusion (CE) documentation, Environmental Assessment (EA), or Environmental Impact Statement (EIS))	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	01/2004	
Historic and Cultural Resource Studies	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	01/2004	04/2010
Biological Surveys and Assessment	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	01/2004	04/2010

Wetlands Delineation and Hydrology Studies	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	01/2004	04/2010
Community Impact Assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Traffic Impact Studies	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Air Emission Studies	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Noise and Vibration Studies	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	01/2004	04/2010
<b>Preliminary Engineering</b>						
Capital Cost Estimates	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	01/2004	12/2010
Travel Demand Forecasting	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	01/2004	04/2010
Operations Analysis	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	01/2004	08/2010
Operations & Maintenance Cost Estimates	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	01/2004	12/2010
System Safety Program Plan and Collision/derailment Hazard Analysis	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Engineering Studies - specify in space below: Preliminary Engineering Study Preliminary Design Report	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	01/2004	12/2010
Design Drawings	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	01/2004	12/2010
Project Management Plan	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	09/2009	12/2010
Other:	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

**(6) Planned Investment.** Please limit response to 4,000 characters.

Provide an overview of the main features of the planned investment that is the subject of the PE/NEPA Project including a brief description of:

- The location of the planned investment, including name of rail line(s), State(s), and relevant jurisdiction(s) (*upload map if applicable*).
- Identification of existing service(s) that would benefit from the project, the cities/stations that would be served, and the state(s) where the service operates.
- How the planned investment was identified through a planning process and how it is consistent with an overall plan for developing High-Speed Rail/Intercity Passenger Rail service.
- How the project will fulfill a specific purpose and need in a cost-effective manner.
- The existing and planned intercity passenger rail service(s).
- The project's independent utility.
- The specific improvements contemplated.

- Any use of railroad assets or rights-of-way, and potential use of public lands and property.
- Other rail services, such as commuter rail and freight rail that will make use of, or otherwise be affected by, the planned investment.

The Project involves the restoration of Track 3 along the 11-mile segment of the NEC (Northeast Corridor or New Haven Main Line) between MP61 (CP261) in Milford and MP71.6 (CP271) in New Haven. The restoration of Track 3 will provide a four-track main line corridor between MP61 and MP71.6. This 11-mile segment, which extends through Milford, Orange, West Haven, and New Haven, is the only three-track section along the NEC between New Rochelle, NY (the junction where service splits) and New Haven. The ROW is owned by the State. Amtrak, MNR, CSX, and PWRP all operate along this segment.

There are several existing passenger rail services that would benefit from this project. Amtrak operates their Acela Express and Regional Rail services along this segment of the corridor. A total of 44 Amtrak trains (20 Acela and 24 Regional) traverse this segment. Amtrak trains do not make any stops along this segment of the NEC. MNR operates 74 weekday daily commuter rail trains. CSX provides local freight service on an as needed basis, while PWRP has overhead rights along the line.

Amtrak's Acela and Regional Rail services would benefit from the restoration of Track 3 because it would create a continuous fourth track along the 11-mile section. With a four-track main line, this segment could be operated in a similar manner to the rest of the NEC between New Haven and New Rochelle. The two center tracks will primarily service the express intercity and commuter trains, while the two outside tracks service the local commuter trains. This operating plan would help reduce delays for intercity trains, as well as improve the overall reliability and on-time performance for the entire NEC. The section of the NEC between New Haven and New Rochelle is one of the more congested sections of the NEC. The number of daily trains, speed restrictions due to track geometry, and the age of the infrastructure, as well as the 11-mile three-track segment, contribute to slower intercity train speeds and greater opportunity for delays, particularly if a train is already late when entering the New Haven, CT to New Rochelle, NY section. This project, along with others identified by Amtrak and ConnDOT as part of the overall NEC Master Plan, will help to improve the overall reliability, speed, and attractiveness of the intercity service along the entire NEC.

The specific improvements include:

1. Reconstruction of the track structure for Track 3, including sub ballast, ballast, ties, rail, and other track materials
2. Installation of a signal system
3. Reconstruction/reconfiguration of three control points (interlockings)
4. Restoration of the overhead catenary system
5. Relocation of the westbound platform at the Milford Commuter Rail Station
6. Replacement of five undergrade bridges
7. Drainage ditch improvements
8. Repairs and improvements to cross culverts

All of these improvements will be constructed within the state-owned ROW.

This project is part of the overall NEC Master Plan, but it has complete independent utility. The primary benefit of the project is the restoration of a four-track main line railroad along the 11-mile segment. This improvement greatly benefits the overall operation of the NEC between New Haven and New Rochelle since the entire segment will now be four tracks. It provides greater operational flexibility and is not dependent on any other projects being completed.

In addition to the operational benefits cited, this project also offers ConnDOT the opportunity to develop two new commuter rail stations that have been under consideration for over 20 years. ConnDOT is currently developing the design for a new station in West Haven (MP69.6) and is actively considering public/private investment opportunities to develop a station in Orange (MP67). These stations would greatly increase the available parking supply for the state-operated commuter rail

service and provide greater transit accessibility to the region.

(7) Indicate the expected service objectives (check all that apply):

- ☒ Additional Service Frequencies  
☒ Service Quality Improvements  
☐ Other (Please Describe):

- ☒ Improved On-Time performance on Existing Route  
☒ Increased Average Speeds/Shorter Trip Times

**(8) Indicate the type of expected capital investments to be included in the planned investment (check all that apply):**

- ☒ Structures (bridges, tunnels, etc.)  
☒ Track Rehabilitation  
☒ Major Interlockings  
☐ Station(s)  
☒ Communication, Signaling and Control  
☐ Rolling Stock Refurbishments
- ☐ Rolling Stock Acquisition  
☐ Support Facilities (Yards, Shops, Admin. Buildings)  
☐ Grade Crossing Improvements  
☒ Electric Traction  
☐ Other (Please Describe):

**(9) Total Cost of PE/NEPA Project: (Year of Expenditure (YOE) Dollars\*) \$ 600,000**

**Of this amount, how much would come from the FRA HSIPR Program: (YOE Dollars)\*\* \$ 600,000**

Indicate the percentage of total cost to be covered by matching funds: % 0

\* Year-of-Expenditure (YOE) dollars are inflated from the base year. Applicants should include their proposed inflation assumptions (and methodology, if applicable) in the supporting documentation

\*\* This is the amount for which the applicant is applying.

**(10) Right-of-Way Owner(s):** Provide the status of agreements with railroad(s) that own the right-of-way. If appropriate, "owner(s)" may also include operator(s) under track age rights or lease agreements. *If more than two railroads, please detail in "Additional Information" in Section F of this application.*

Railroad owner 1 (Name):

ConnDOT

Status of railroad owner 1 (Click on the appropriate option from the dropdown menu shaded in gray):

Final executed agreement on project scope/outcomes

Railroad owner 2 (Name):

Status of railroad owner 2 (Click on the appropriate option from the dropdown menu shaded in gray):

No host railroad involved

**(11) Intercity Passenger Rail Operator:** If applicable, provide the status of agreement(s) with partner(s) that will operate the benefiting planned High-Speed Rail/Intercity Passenger Rail services after completion of the planned investment (e.g., Amtrak). *Click on the appropriate option from the dropdown menu shaded in gray:*

Name of Operating Partner: Amtrak

Status of Agreement: Final executed agreement on project scope/outcomes

**(12) Benefits to Other Types of Rail Service:** If benefits to non-intercity passenger rail services are foreseen from the planned investment, please briefly describe those agreements and provide details on their status if applicable. *Please limit response to 1,000 characters.*

The planned investment will benefit the New Haven Line commuter rail service, operated by Metro North Railroad for the State, in terms of operational reliability and on-time performance. The restoration of Track 3 will offer operational flexibility through the potential use of the center two tracks for express trains (intercity and commuter rail/through commuter) and the outside two tracks for local trains.

The Track 3 restoration also allows ConnDOT to develop two new commuter rail stations: West Haven (MP69.6) and Orange (MP67). Parking at the existing New Haven and Milford stations is over-subscribed. ConnDOT is currently working on the design for the West Haven Station, which could potentially add up to 1,100 spaces. The Orange Station, which could also add up to 1,100 spaces, is being considered for a public-private partnership

opportunity. These two new stations will benefit commuters traveling on MNR to destinations in SW CT and NYC

as well as east of New Haven on SLE.



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## C. Eligibility Information

(1) **Select applicant type**, as defined in Appendix 1.1 of the HSIPR Guidance (*check the appropriate box from the list*):

- ☒ State  
☐ Amtrak

If one of the following, please append appropriate documentation as described in Section 4.3.1 of the HSIPR Guidance:

- ☐ Group of States  
☐ Interstate Compact  
☐ Public Agency established by one or more States  
☐ Amtrak in cooperation with one or more States

## D. Public Return on Investment

(1) **Transportation Project Benefits.** *Please limit response to 2,000 characters.*

Describe the transportation benefits that are anticipated to result from the planned investment for which you are conducting PE/NEPA, including the extent to which the planned investment may be expected to:

- Lead to benefits for Intercity Passenger Rail including travel time reductions, increased frequencies, and enhanced service quality
- Address safety issues
- Address intercity passenger rail reliability issues
- Be integrated and complementary to the relevant comprehensive planning process (23 U.S.C. 135)
- Provide benefits to other modes of transportation, including benefits to Commuter Rail Services, Freight Rail Service, and Highway and Air Congestion Reduction and Delay or Avoidance of Planned Investments

The planned investment will enhance intercity and commuter rail services by providing additional track capacity along an 11-mile segment of the NEC through a consistent four-track main line from New Haven, CT to New Rochelle, NY. The fourth track will reduce the potential for delays and improve travel times; enhance the overall service reliability; and improve the quality of service for both types of passenger rail services.

Safety issues will be addressed by creating opportunities for movement around slow or disabled trains, as well as separating tracks for express and local trains. This will be accomplished by removing the westbound Milford Station stop from Track 1. By sliding the platform back and restoring Track 3, westbound commuter trains will be able to stop at the Milford Station on Track 3 and leave Track 1 available for through and express trains. Other opportunities for faster train movement trains includes the use of the three interlockings located on the 11-mile segment.

Intercity passenger rail reliability will be improved by the addition of the fourth track on the 11-mile segment. This additional track provides options to move around disabled trains and provides the opportunity to offer two tracks for each type of service (express and local).

The planned investment accrues benefits to other modes of transportation, including operational benefits to commuter rail service, as well as the potential development of two new commuter rail stations. These new stations will aid in the removal of additional single-occupant vehicles from the highway system in the region, thus contributing to the relief or reduction of roadway congestion and regional air quality issues.

The project is part of the comprehensive NEC Master Plan developed by Amtrak. Implementation of the project is consistent with the region's transportation master plan, as well as the long-range transportation plan

adopted by the State of Connecticut.

**(2) Environmental Project Benefits Narrative.** *Please limit response to 1,000 characters.*

Describe the intended contribution of the planned investment for which you are conducting PE/NEPA towards improved environmental quality, energy efficiency and reduction in the dependence on oil.

The restoration of Track 3 in this section of the NEC will improve the overall service reliability and reduce the potential for delays. By making these improvements and realizing these benefits, the overall NEC intercity service becomes more attractive and viable. These improvements also directly benefit the State's commuter rail service in a similar manner. They provide the opportunity for ConnDOT to develop two new commuter rail stations, offering up to 2,200 additional parking spaces.

This project will help to reduce automobile travel in the region and along the NEC, which will help to address traffic congestion and air quality issues. Environmental benefits occur when travelers shift from auto to rail transit. This shift increases energy efficiency via reducing the level of emissions per capita. Oil dependency will be reduced by providing a more attractive alternative to auto travel, thus encouraging modal shifts for business and pleasure trips.

**(3) Livable Communities Project Benefits Narrative.** *Please limit response to 3,000 characters.*

Describe the anticipated benefits of the planned investment for which you are conducting PE/NEPA for fostering and promoting Livable Communities, and include information on the following:

- Integration with existing high density, livable development (including relevant details on livable development (e.g., central business districts with walking and public transportation distribution networks with transit oriented development)).
- Development of intermodal stations with direct transfers to other transportation modes (both intercity passenger transport and local transit).

Livable communities encourage development that have access to multiple modes of public transit and are typically designed with a mix of retail, employment, and housing. The goal of livable communities is to improve the overall quality of life for residents. The restoration of the Track 3 along the 11-mile corridor, will enable ConnDOT to construct two new stations: West Haven Station and Orange Station. Both of these sites are well-suited to create hubs of transit-oriented development (livable communities). The State is currently developing design plans for the new commuter rail station in West Haven. West Haven Station will be located in a designated transit-oriented development zone and will serve as the cornerstone of development in this area. This station site is a short walk from the Central Business District (CBD) area and is well-connected to a hospital, college campus, and several recreational areas. West Haven Station is likely to help induce higher-density development in the immediate area and provide intermodal transit options via the rail line, connecting bus services, paratransit services, and walkable locations. West Haven Station will have bicycle racks to encourage passengers to ride their bicycle to the station. It will also have connecting sidewalk access and car and vanpooling information readily available. The future Orange Station site also has high potential for transit-oriented development and will be designed to encourage higher density and more livable types of development.

**(4) Economic Recovery Benefits.** *Please limit response to 2,000 characters.*

Estimate the benefit that the PE/NEPA Project and the planned investment for which you are conducting PE/NEPA will make towards economic recovery and reinvestment, including information on the following:

- How both the PE/NEPA Project and the planned investment will result in the creation and preservation of jobs (including number of onsite and other direct jobs (on a 2080 work-hour per year, full-time equivalent basis). Include a timeline for the anticipated job creation, specifying which jobs would be created for the PE/NEPA studies and an estimate for the planned investment (consider the construction period and operating period).
- How the project represents an investment that will generate long-term economic benefits (including the timeline for achieving economic benefits) and describe, if applicable, how the project was identified as a solution to a wider

economic challenge.

- If applicable, how the project will help to avoid reductions in State-provided essential services.

The planned investment and NEPA/PE studies to be undertaken for this project will have a significant impact on job creation if the grant funding is received. Using the standard formula for stimulus job creation, where a \$92,000 investment creates one full-time job (2080 work-hour per year basis), 1,460 jobs will be created by the planned capital investment that results from this NEPA/PE project.

The project will generate long-term economic benefits by increasing the viability and competitiveness of both intercity and commuter rail service in Connecticut and intercity service along the NEC. The restoration project will result in a more attractive transit service and is expected to increase ridership. An increase in ridership and a more efficient operation will mean fewer costs for commuters and an increase in productive hours for employees. With a more reliable and timely service, more travelers will be encouraged to use rail, thus lessening the dependence on auto travel and resulting in energy savings, reduced dependence on oil, improvements in air quality, and less congested regional highway travel.

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## E. Project Success Factors

### (1) Project Management Approach and Applicant Qualifications. Please limit response to 3,000 characters.

Describe qualifications of the applicant and its key partners for undertaking the PE/NEPA Project, include the following information:

- **Management Experience** – provide relevant information on experience in managing rail programs and planning activities of a similar size and scope to the one proposed in this application. Provide an organizational chart (or equivalent) that outlines the roles played by key project team members in completing activities as well as information on the role of contract support, engineering support and program management.
- **Financial Management Capacity and Capability**– provide relevant information on capability to absorb potential planning project cost overruns.
- **Risk Assessment** – provide a preliminary assessment of uncertainties within the planning process and possible mitigation strategies (consider grantee risk, funding risk, schedule risk and stakeholder risk).

### (2) Funding Sources: In the following table, please provide the requested information about your funding sources (if applicable)

Non-FRA Funding Sources	New or Existing Funding Source?	Status of Funding <sup>1</sup>	Type of Funds	Dollar Amount (YOE \$)	% of Total Project Cost	Describe any uploaded supporting documentation to help FRA verify funding source

### (3) Project Implementation Narrative. Please limit response to 1,000 characters.

Provide a preliminary self-assessment of PE/NEPA Project uncertainties and mitigation strategies (consider grantee risk, funding risk, schedule risk and stakeholder risk). Describe any areas in which you could use technical assistance, best practices, advice or support from others, including FRA.

The project uncertainties lie in the selection of NEPA documentation. ConnDOT believes that a Categorical Exclusion will be adequate to obtain NEPA clearance; however, in some cases, more in-depth studies may be required. Should this unlikely scenario occur, ConnDOT is prepared to account for possible cost overruns to ensure that the project will be prepared to advance as specified in this application.

Advice and support will be required in applying for FRA NEPA clearance as few have been completed in Connecticut for FRA. FRA formats differ slightly from those of FTA and FHWA so clarification may be required to ensure a successful NEPA document is submitted.

<sup>1</sup> **Reference Notes:** The following categories and definitions are applied to funding sources:

**Committed:** Committed sources are programmed capital funds that have all the necessary approvals (e.g. legislative referendum) to be used to fund the proposed project without any additional action. These capital funds have been formally programmed in the State Rail Plan and/or any related local, regional, or state Capital Investment Program (CIP) or appropriation. Examples include dedicated or approved tax revenues, state capital grants that have been approved by all required legislative bodies, cash reserves that have been dedicated to the proposed project, and additional debt capacity that requires no further approvals and has been dedicated by the sponsoring agency to the proposed project.

**Budgeted:** This category is for funds that have been budgeted and/or programmed for use on the proposed project but remain uncommitted, i.e., the funds have not yet received statutory approval. Examples include debt financing in an agency-adopted CIP that has yet to be committed in their near future. Funds will be classified as budgeted where available funding cannot be committed until the grant is executed, or due to the local practices outside of the project sponsor's control (e.g., the project development schedule extends beyond the State Rail Program period).

**Planned:** This category is for funds that are identified and have a reasonable chance of being committed, but are neither committed nor budgeted. Examples include proposed sources that require a scheduled referendum, requests for state/local capital grants, and proposed debt financing that has not yet been adopted in the agency's CIP.

**(4) Timeliness of Project Completion.** *Please limit response to 1,000 characters.*

Describe the extent to which the PE/NEPA Project will lead to future project and/or Service Development Program applications for Tracks 1 FD/Construction and Track 2 Programs.

The goal of this PE/NEPA project is to prepare the necessary NEPA documentation for application under Track 1 FD/Construction of Track 2 programs in future rounds of funding. Approximately half of the design of this project is significantly complete and is anticipated to be completed by June of 2010, positioning this project for funding as soon as NEPA clearance is obtained.

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## F. Additional Information

(1) Please provide any additional information, comments, or clarifications and indicate the section and question number that you are addressing (e.g., Section D, Question 3). *This section is optional.*

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## G.Summary of Application Materials

Program Forms	Required	Optional	Reference	Description	Format
<input checked="" type="checkbox"/> Application Form	✓		HSIPR Guidance Section 4.3.3.3	This document to be submitted through <i>GrantSolutions</i> .	Form
Supporting Documentation	Required	Optional	Reference	Description	Format
<input checked="" type="checkbox"/> Planned Investment map		✓	Application Question B.6	Map of the Planned Investment location. Please upload into <i>GrantSolutions</i> .	None
Standard Forms	Required	Optional	Reference	Description	Format
<input type="checkbox"/> SF 424: Application for Federal Assistance	✓		HSIPR Guidance Section 4.3.3.3	Please submit through <i>GrantSolutions</i>	Form
<input type="checkbox"/> SF 424A: Budget Information-Non Construction	✓		HSIPR Guidance Section 4.3.3.3	Please submit through <i>GrantSolutions</i>	Form
<input type="checkbox"/> SF 424B: Assurances-Non Construction	✓		HSIPR Guidance Section 4.3.3.3	Please submit through <i>GrantSolutions</i>	Form
<input type="checkbox"/> FRA Assurances Document	✓		HSIPR Guidance Section 4.3.3.3	May be obtained from FRA's website at <a href="http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf">http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf</a> . The document should be signed by an authorized certifying official for the applicant. Submit through <i>GrantSolutions</i> .	Form

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